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EXAMINER	
FULLER, ERIC B	

ART UNIT	PAPER NUMBER
1762	

DATE MAILED: 11/23/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	09/715,935	BI ET AL.	
	Examiner	Art Unit	
	Eric B Fuller	1762	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *02 September 2004*.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *18-54 and 56-61* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *18-54 and 56-61* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

Claims 18-29, 33-42, 44, 46-51, 56-57, and 59-61 are rejected under 35 U.S.C. 103(a) as being unpatentable over Akedo et al. (US 6,280,802 B1) in view of Bi et al. (US 5,958,348) and Rao et al. (US 5,874,134).

Akedo teaches a film forming apparatus that directs a particle stream made up of nanoparticles towards a substrate and moves the substrate relative to the particle stream in order to coat the substrate (column 3, line 10-12). The input of this apparatus is a continuous stream of particles with a size ranging between 10 nanometers to 5 microns (column 2, lines 41-60). Akedo fails to explicitly teach how the particles are produced. However, Bi teaches an apparatus that reacts a reactant stream by directing a focused radiation beam at the reactant stream to produce a product stream comprising particles downstream from the radiation beam, wherein the reaction is driven by energy from the radiation beam (summary). The product stream of this apparatus is a continuous stream of nanoparticles. The benefit over the prior art in using this method in order to produce nanosized particles is the efficient use of resources at high production capacity without sacrificing particle quality (column 2, lines 16-24).

Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have the Bi apparatus provide the nanoparticle input of the Akedo apparatus (reference 23, figures 6 and 9). The references collectively fail to explicitly teach performing this in an in-line method.

However, Rao teaches a method of producing nanoparticles by a laser beam and having the product stream be directed to a substrate for coating (figure 1; column 4, lines 25-30). One of ordinary skill would recognize the benefit of this is the reduction of steps, by not having to collect the particles and transfer them to a separate apparatus. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to perform the process of Akedo in view of Bi in an in-line fashion (having the product stream of Bi be directed to the input of the Akedo reference). The motivation to do so would be the reduction of steps. By doing so, one would reap the benefits of the efficient use of resources at high production capacity without sacrificing particle quality. The method that results meets the applicant's claims, as has been discussed in previous Office Actions.

Claim 30, 43, 45, 52, and 58 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lehman (US 6,097,144) in view of Akedo et al. (US 6,280,802 B1), Bi et al. (US 5,958,348), and Rao et al. (US 5,874,134) in further view of Kambe et al. (WO 99/23189).

Lehman teaches a process of producing a glass coating that involves applying frit to a cold or heated substrate. The process is performed by mixing the frit, having a

200-325 mesh size, with a carrier solvent and the spraying the coating to the surface (column 5, lines 50-67). If the substrate is cold, a series of heating and cooling steps are performed in order to melt, fuse, and anneal the glass coating (column 6, lines 1-20). Lehman fails to use the method of applicant's claim 18 to apply the glass coating. However, Bi teaches that nanoparticles exhibit exploitable chemical and mechanical properties that are different from larger sized particles (background), and that the taught apparatus is advantageous to use in order to produce these nanoparticles due to its efficient use of resources (column 2, lines 17-25). An additional obvious benefit of having the particles be of a smaller size would be the ability to form thinner, or more uniform, films of glass. The Akedo, Bi, and Rao references can be combined as taught previously in order to produce coatings by nanoparticles, and therefore it would have been obvious at the time the invention was made to a person having ordinary skill in the art to use the method taught by Akedo, Bi, and Rao in order to apply the glass coating of the Lehman process in order to reap the benefits of a thinner, or more uniform, coating. Additionally, the combined process would be more efficient as a carrier solvent would no longer be required. The Kambe reference is used in order to establish that the combined Bi and Akedo apparatus is capable of producing glass particles. Kambe teaches a similar apparatus as Bi, as nanoparticles are produced by laser irradiation. The differences between Kambe and Bi are in the process that the particles perform after they are produced, and not in how they are produced. The nanoparticles produced in the Kambe apparatus is silica (abstract), which can be used for producing glass. It would have been obvious from the Kambe reference that the apparatus taught by Bi

would also be able to produce silica nanoparticles. Furthermore, it would have been obvious that the combined Akedo and Bi apparatus is able to produce silica coatings as well, as column 5, first paragraph of the Akedo reference teaches that the apparatus taught is capable of producing oxide films.

In performing this process, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to use a silicon precursor in order to achieve silicon oxide as the product stream.

Claims 18-29, 33-52, and 56-61 are rejected under 35 U.S.C. 103(a) as being unpatentable over Akedo et al. (US 6,280,802 B1) in view of Kambe et al. (WO 99/23189) and Rao et al. (US 5,874,134).

Akedo teaches the limitations as shown above, specifically to deposit nanoparticles of oxides onto a substrate, but fails to explicitly teach using the process of Kambe as the input of the method. However, Kambe teaches the production of silicon oxide particles by a process shown above. To use the process of Kambe to provide the input of Akedo would have been obvious as the process of Kambe provide a high level of purity (page 1, lines 30-35) and efficiency (page 2, lines 1-5). The combined references fail to teach performing the process in-line.

However, Rao teaches a method of producing nanoparticles by a laser beam and having the product stream be directed to a substrate for coating (figure 1; column 4, lines 25-30). One of ordinary skill would recognize the benefit of this is the reduction of steps, by not having to collect the particles and transfer them to a separate apparatus.

Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to perform the process of Akedo in view of Kambe in an in-line fashion (having the product stream of Kambe be directed to the input of the Akedo reference). The motivation to do so would be the reduction of steps. By doing so, one would reap the benefits a high level of purity and efficiency. The method that results meets the applicant's claims.

Claim 30 is rejected under 35 U.S.C. 103(a) as being unpatentable over Lehman (US 6,097,144) in view of Akedo et al. (US 6,280,802 B1), Kambe et al. (WO 99/23189), and Rao et al. (US 5,874,134).

Lehman teaches a process of producing a glass coating that involves applying frit to a cold or heated substrate. The process is performed by mixing the frit, having a 200-325 mesh size, with a carrier solvent and the spraying the coating to the surface (column 5, lines 50-67). If the substrate is cold, a series of heating and cooling steps are performed in order to melt, fuse, and anneal the glass coating (column 6, lines 1-20). Lehman fails to use the method of applicant's claim 18 to apply the glass coating. However, the Akedo, Kambe, and Rao references can be combined as taught previously in order to produce coatings by nanoparticles. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to use the method taught by Akedo, Kambe, and Rao in order to apply the glass coating of the Lehman process in order to reap the benefits of a thinner, or more uniform, coating that

is possible with smaller diameter particles. Additionally, the combined process would be more efficient as a carrier solvent would no longer be required.

Claims 31 and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tran et al. (US 6,074,888) in view of Lehman (US 6,097,144), and further in view of Akedo et al. (US 6,280,802 B1), Bi et al. (US 5,958,348), and Rao et al. (US 5,874,134), in view of Kambe et al. (WO 99/23189).

Tran teaches that in order to produce an optical component, it is required to produce an optical component layer (abstract, summary), which is typically glass. Then photolithography is used to fabricate the optical component (column 3, line 59). Tran fails to teach applying the coating by the method taught by applicant's claim 18. However, it has been shown that the Lehman, Akedo, Bi, Rao, and Kambe references can all be combined to teach a method of producing a glass coating that has the advantages of being more uniform, is capable of being thinner, and does not require a solvent. To use this method of forming a glass coating when producing the optical layer taught in the Tran reference would have been obvious at the time the invention was made to a person having ordinary skill in the art in order to reap the benefits of a thinner, more uniform, coatings without the need for a solvent.

Claims 31 and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tran et al. (US 6,074,888) in view of Lehman (US 6,097,144), and further in view

of Akedo et al. (US 6,280,802 B1), Kambe et al. (WO 99/23189), and Rao et al. (US 5,874,134).

Tran teaches that in order to produce an optical component, it is required to produce an optical component layer (abstract, summary), which is typically glass. Then photolithography is used to fabricate the optical component (column 3, line 59). Tran fails to teach applying the coating by the method taught by applicant's claim 18. However, it has been shown that the Lehman, Akedo, Kambe, and Rao references can all be combined to teach a method of producing a glass coating that has the advantages of being more uniform, is capable of being thinner, and does not require a solvent. To use this method of forming a glass coating when producing the optical layer taught in the Tran reference would have been obvious at the time the invention was made to a person having ordinary skill in the art in order to reap the benefits of a thinner, more uniform, coatings without the need for a solvent.

Claims 18-29, 33-42, 47-51, 53, 54, 56, 57, and 59-61 are rejected under 35 U.S.C. 103(a) as being unpatentable over Börner et al. (US 6,032,871) in view of Bi et al. (US 5,958,348) and Rao et al. (US 5,874,134).

Börner teaches a process of spraying two different materials to a substrate by applying differing charges to each particle stream (figure 3). Börner is silent to how these particle streams are produced. However, Bi teaches that nanoparticles exhibit exploitable chemical and mechanical properties that are different from larger sized particles, such as increased smoothness and thinner coatings (background). The

apparatus taught by Bi is advantageous to use in order to produce these nanoparticles due to its efficient use of resources (column 2, lines 17-25). Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to use the apparatus of Bi to produce the particle streams of Börner. By doing so, one would reap the benefits of having an efficient way of producing nano-sized particles such that a smoother and/or thinner coating is achieved. The references fail to explicitly teach performing this in an in-line method.

However, Rao teaches a method of producing nanoparticles by a laser beam and having the product stream be directed to a substrate for coating (figure 1; column 4, lines 25-30). One of ordinary skill would recognize the benefit of this is the reduction of steps, by not having to collect the particles and transfer them to a separate apparatus. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to perform the process of Börner in view of Bi in an in-line fashion (having the product stream of Bi be directed to the input of the Börner reference). The motivation to do so would be the reduction of steps. By doing so, one would reap the benefits of the efficient use of resources at high production capacity without sacrificing particle quality. The method that results meets the applicant's claims, as has been discussed in previous Office Actions.

Claims 42-54 are rejected under 35 U.S.C. 103(a) as being unpatentable over Börner et al. (US 6,032,871) in view of Akedo et al (US 6,280,802), Bi et al. (US 5,958,348), and Rao et al. (US 5,874,134).

Börner teaches the desire to have powder coatings of two different materials applied to the same substrate by means of two differently charged particle streams. Akedo, Bi, and Rao, combined, teach a materially efficient method of producing charged particle streams that have the benefit of being nano-sized, which results in thinner and/or smoother coatings, as explained above. Therefore, it would have been obvious to use the method and apparatus of Akedo, Bi, and Rao to provide the particle streams of Börner. By doing so, one would reap the benefits of an efficient way to produce smoother and/or thinner coatings. By figure 3 of Börner, one in the art would be motivated, when combing the references, to have a separate "Akedo and Bi" apparatus provide each stream. This is because the streams of figure 3 are coming from separate sources.

Claims 18-20, 23, 25, 27-29, 39-41, 56, and 58-61 are rejected under 35 U.S.C. 103(a) as being unpatentable over Rao et al. (US 5,874,134) in view of Bernecki et al. (US 5,744,777).

Rao teaches producing particles of silicon (column 6, lines 4-5) by reacting a reaction stream with a high-energy laser (column 4, lines 25-30). The particles are deposited on a substrate in-line by a hypersonic plasma particle deposition process (column 5, lines 55-60). The deposition rates are within the applicant's ranges (column 7, lines 55-65). The reference fails to teach supplying motion between the substrate and the product stream. However, Bernecki teaches that larger substrates may be coated by providing motion between the plasma spray and the substrate (column 8,

lines 25-35). Therefore, it would have been obvious to provide motion between the product stream of Rao and the substrate. By doing so, larger substrates may be coated.

As to methods of providing motion, to use a movable stage to move the substrate or means to move the apparatus of Rao would be obvious variations of each other, as both act to achieve the same relative motion.

Claims 18-22, 26-29, 33-42, 44, 46-51, 53, and 54 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bi et al. (US 5,958,348) in view of Carey, Jr. (US 4,011,067).

Bi teaches a method of producing and collecting nanoparticles by means of a filter (substrate). Bi fails to explicitly teach moving the filter. However, Carey teaches that by moving the filter substrate, pressure drop in the gas stream is minimized and flowability of the gas stream through the filter is maintained (abstract). It would have been obvious at the time the invention was made to a person having ordinary skill in the art to move the filter substrate in the process taught by Bi. By doing so, the pressure drop is minimized and flowability of the gas stream though the filter is maintained. Bi meets the limitations of the claims, as shown above.

Response to Arguments

Applicant's arguments with respect to the 35 U.S.C. 112 rejections have been found convincing. The examiner has withdrawn these rejections accordingly, as the specification explicitly teaches non-porous substrates as one embodiment.

Applicant arguments for Akedo, in view of Bi and Rao, are not found convincing. Examiner wishes to establish that one of ordinary skill in the art would be charged with the ingenuity and knowledge of a design engineer. Akedo teaches a coating method requiring a particle stream and Bi teaches a method of producing a particle stream. Although Bi collects the particle stream, this collection of the particle stream technically is a coating process and one of skill in the art would have the ingenuity and knowledge to substitute the coating method of Bi with the coating method of Akedo. Any minor issues arising from the combination of the two references would be within the skill of a design engineer practicing in the art. Regardless, Rao teaches that in-line processes of producing particles and directing them towards a substrate for coating are known and provides motivation to do so.

In response to applicant's argument that the examiner's conclusion of obviousness is based upon improper hindsight reasoning, it must be recognized that any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning. But so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made, and does not include knowledge gleaned only from the applicant's disclosure, such a reconstruction is proper. See *In re McLaughlin*, 443 F.2d 1392, 170 USPQ 209 (CCPA 1971).

The examiner only uses information gained from the prior art in forming this obvious combination. Particularly, although the rejection is stated as Akedo, in view of Bi and Rao, this is for motivational purposes. One of ordinary skill would see that Bi teaches the all limitations of the present invention except for moving the substrate. Akedo teaches other substrates that need particle coatings, wherein the substrates are moved do to their sizes. The combination of Akedo and Bi would be obvious since Akedo teaches the art recognized suitability of applying particle coatings to moving substrates. Hindsight reasoning is not necessary to find a reason to have a substrate move, particularly because the prior art teaches many different reasons why one of skill in the art would desire a moving substrate. Applicant alleges the examiner relies on information gleaned only from the applicant's disclosure, but is vague on what this information would be. How is the examiner using hindsight? What information is the examiner relying on that is not taught by the prior art and can only be learned by reading the applicant's specification? Bi teaches an almost identical apparatus and only falls short of anticipating the applicant's invention because it does not teach moving the substrate. There are numerous reasons that one would want to move the substrate. The examiner has supplied Akedo as one example of why one would want to move the substrate. The combination proposes directing the particle stream of Bi, which is directed to a non-moving filter substrate, to a moving substrate that requires a particle coating. Motivation exists in that Akedo teaches a process requiring a particle stream and Bi explicitly teaches that the disclosed process of forming a particle stream is efficient and uniform.

Rao is supplied to overcome applicant's previous allegation that one would be motivated by the combination to collect the particles in Bi and transfer them to the process of Akedo. Rao teaches that in-line processes are known and teaches the motivation of reducing the number of steps in the process. Why would someone be motivated to collect and remove particles out of a stream just to expend energy to put them back in to a stream for subsequent deposition on to a substrate?

All other arguments are based on the applicant refusing to acknowledge the motivation that the examiner has repeatedly laid out. The examiner has provided a teaching of the limitations. Motivation to combine the references exists in making the process continuous, as taught by Rao, and, as previously stated, held by the courts as an obvious modification. One of ordinary skill in the art would have the knowledge of understanding how fluids work and from this knowledge would be able to combine the references suggested.

The examiner believes that one of ordinary skill in the art, having an engineering degree, would have the knowledge, intuition, and ability to use the method taught by Bi to produce the nanoparticles needed for the process taught by Akedo, with the motivation being the efficiency of Bi. From this, one of ordinary skill in the art would be presented with the notion of performing the process by batch or continuous, a common notion that engineers face. By collecting the nanoparticles of Bi and transferring them to the apparatus of Akedo, the process would be batch. By realizing that Bi has a moving stream at the outlet and Akedo requires a moving stream for the inlet, a person with the ingenuity of an engineer would at least recognize that instead of stopping the

stream in Bi and restarting it in Akedo, that the process could be performed continuously. It is within the level of ordinary skill to operate a process continuously. *In re Dilnot* 138 USPQ 248 (CCPA); *In re Korpi* 73 USPQ 229 (CCPA 1947); *In re Lincoln* 53 USPQ 40 CCPA 1963). Regardless, the examiner has supplied Rao as teaching the motivation for performing the process taught by Akedo and Bi in an in-line fashion. Even though the reference has been taken into account in it's entirety, the examiner does not make use of other features of the Rao reference to be incorporated in the process taught by Akedo in view of Bi, as further obviousness and motivation for these other features do not exist above that all ready supplied by Akedo in view of Bi.

These arguments also pertain to Borner, as any process desiring a flow of particles would benefit from the particle producing method of Bi. One of skill would have the knowledge, ability, and ingenuity to use one method that produces particle and feed those particles into a process that requires particles.

These arguments are equally pertinent to the rejections based on Akedo, in view of Kambe and Rao. This is because the apparatus and methodology of Kambe, as admitted by the applicant, are comparable to the corresponding apparatus and methodology of the Bi patent.

As to the arguments based on Rao as the primary reference, the applicant alleges that the cited references do not teach or suggest all of the features of the Applicant's claimed invention. However, the applicant has failed to indicate which feature is allegedly not taught by the references nor how a prima facie case has not been made. Thus, no meaningful argument has been made in regards to this rejection.

Applicant argues that Carney is non-analogous art. This is not found convincing. Carney is relied on for teaching that pressure drop in the gas stream can be minimized and flowability of the gas stream through the filter may be maintained by moving the filter substrate during collection. This is reasonably pertinent to the problem with which the applicant was concerned, particularly for the embodiments in which the substrate is porous. Applicant further argues that there would be no motivation of success in this combination because the particle flow rates differ between the two processes. This is not found convincing. The proposed combination recognizes that the particle rates of the two references may differ. However, the benefits of moving the substrate would be realized for either process. Furthermore, since the particle flow rate is larger for Bi, one of ordinary skill in the art would recognize that it would even more benefit from a moving substrate, as the higher flow rate would increase the susceptibility of filter blocking the flowability of the gas. One of ordinary skill would understand that since the process of Bi is more susceptible to blockage of the filter due to it's higher particle flow, that the substrate would be moved at a higher rate, proportional to the flow rate.

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Eric B Fuller whose telephone number is (571) 272-1420. The examiner can normally be reached on Mondays through Thursdays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Shrive P Beck, can be reached on (571) 272-1415. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

EBF

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